

Express Mail No.: EV320117616US. I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated below and is addressed to Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.			
April 9, 2004 Date Mailed	Yuko Tanaka Name	<i>Y. Tanaka</i> Signature	April 9, 2004 Date

Attorney's Docket No: 42P14583D

Patent

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Patent Application of:)	
)	
Liu et al.)	Examiner: Not Yet Assigned
)	
Serial No: New Patent Application)	Art Unit: Not Yet Assigned
)	
Filing Date: Concurrently herewith)	
)	
For: WAVEGUIDE-BASED BRAGG GRATINGS)	
WITH SPECTRAL SIDELobe)	
SUPPRESSION AND METHOD THEREOF)	
)	

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir/Madam:

Enclosed is a copy of Information Disclosure Citation Form PTO-1449 together with copies of the documents cited on that form. It is respectfully requested that the cited documents be considered and that the enclosed copy of Information Disclosure Citation Form PTO-1449 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Pursuant to 37 C.F.R. § 1.97, this Information Disclosure Statement is being submitted under one of the following (as indicated by an "X" to the left of the appropriate paragraph):

XX 37 C.F.R. §1.97(b).

_____ 37 C.F.R. §1.97(c). If so, then enclosed with this Information Disclosure Statement is one of the following:

_____ A statement pursuant to 37 C.F.R. §1.97(e) or

_____ A check for \$180.00 for the fee under 37 C.F.R. § 1.17(p).

_____ 37 C.F.R. §1.97(d). If so, then enclosed with this Information Disclosure Statement are the following:

(1) A statement pursuant to 37 C.F.R. §1.97(e); and

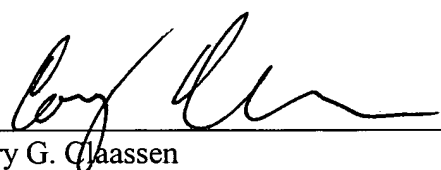
(2) A check for \$180.00 for the fee under 37 C.F.R. §1.17(p) for submission of the Information Disclosure Statement.

If there are any additional charges, please charge Deposit Account No. 02-2666.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated: April 9, 2004


Cory G. Claassen
Reg. No. 50,296

12400 Wilshire Blvd.
Seventh Floor
Los Angeles, CA 90025-1026
(206) 292-8600

Substitute for Form 1449/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>				Complete if Known	
				Application Number	New Application
				Filing Date	Concurrently herewith
				First Named Inventor:	Liu et al.
				Art Unit	Not Yet Assigned
Examiner Name	Not Yet Assigned				
Sheet	1	of	4	Attorney Docket Number	42P14583D

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)				
	1.	us-	4,984,894	01-15-1991	Kondo	
	2.	us-	5,195,161	03-16-1993	Adar et al.	
	3.	us-	5,285,274	02-08-1994	Tanno et al.	
	4.	us-	5,446,809	08-29-1995	Fritz et al.	
	5.	us-	5,467,732	11-21-1995	Donnelly, Jr. et al.	
	6.	us-	Re. 35,516	05-20-1997	Henry et al.	
	7.	us-	5,668,900	09-16-1997	Little et al.	
	8.	us-	5,764,829	06-09-1998	Judkins et al.	
	9.	us-	6,011,881	01-04-2000	Moslehi et al.	
	10.	us-	6,061,481	05-09-2000	Heidrich et al.	
	11.	us-	6,075,908	06-13-2000	Paniccia et al.	
	12.	us-	6,172,791 B1	01-09-2001	Gill et al.	
	13.	us-	6,221,565 B1	04-24-2001	Jain et al.	
	14.	us-	6,233,381 B1	05-15-2001	Borrelli et al.	
	15.	us-	6,330,255 B1	12-11-2001	Hung	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³	Number ⁴	Kind Code ⁵ (if known)				

Examiner Signature	Date Considered
--------------------	-----------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SENT FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Substitute for Form 1449/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>				Complete if Known		
				Application Number	New Application	
				Filing Date	Concurrently herewith	
				First Named Inventor:	Liu et al.	
				Art Unit	Not Yet Assigned	
				Examiner Name	Not Yet Assigned	
Sheet	2	of	4	Attorney Docket Number	42P14583D	
U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)				
	16.	US-	6,330,383 B1	12-11-2001	Cai et al.	
	17.	US-	6,343,167 B1	01-29-2002	Scalora et al.	
	18.	US-	6,363,202 B1	03-26-2002	Goodfellow	
	19.	US-	2002/0113966 A1	08-22-2002	Shchegrov et al.	
	20.	US-	6,459,533 B1	10-01-2002	Clapp et al.	
	21.	US-	6,480,513 B1	11-12-2002	Kapany et al.	
	22.	US-	2002/0197011 A1	12-26-2002	Liu et al.	
	23.	US-	2003/0021305 A1	01-30-2003	Lundqvist	
	24.	US-	2003/0025976 A1	02-06-2003	Wipiejewski	
	25.	US-	2003/0086655 A1	05-08-2003	Deacon	
	26.	US-	2003/0091086 A1	05-15-2003	Sahara et al.	
	27.	US-	2003/0099018 A1	05-29-2003	Singh et al.	
		US-				
		US-				
		US-				

FOREIGN PATENT DOCUMENTS							
Examiner Initials*	Cite No. ¹	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³	Number ⁴ Kind Code ⁵ (if known)				
	28.	EP	1094574 A1	04-25-2001	Interuniversitair Micro-Elektronica Centrum VSW et al.		

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SENT FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Substitute for Form 1449/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>				Complete if Known	
				Application Number	New Application
				Filing Date	Concurrently herewith
				First Named Inventor:	Liu et al.
				Art Unit	Not Yet Assigned
				Examiner Name	Not Yet Assigned
Sheet	3	of	4	Attorney Docket Number	42P14583D
NON PATENT LITERATURE DOCUMENTS					
Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published			T ²
	29.	ERDOGAN, TURAN, "Fiber Grating Spectra," <i>JOURNAL OF LIGHTWAVE TECHNOLOGY</i> , vol. 15, No. 8, pp. 1277-1294, August 1997			
	30.	HILL, KENNETH O. et al., "Fiber Bragg Grating Technology Fundamentals and Overview," <i>JOURNAL OF LIGHTWAVE TECHNOLOGY</i> , vol. 15, No. 8, pp. 1263-1276, August 1997			
	31.	STUDENKOV, P.V. et al., "Asymmetric Twin-Waveguide 1.55- μ m Wavelength Laser with a Distributed Bragg Reflector," <i>IEEE PHOTONICS TECHNOLOGY LETTERS</i> , vol. 12, No. 5, pp. 468-470, May 2000			
	32.	WILLNER, A.E. et al., "Tunable Compensation of Channel Degrading Effects Using Nonlinearly Chirped Passive Fiber Bragg Gratings," <i>IEEE JOURNAL OF SELECTED TOPICS IN QUANTUM ELECTRONICS</i> , vol. 5, No. 5, pp. 1298-1311, September/October 1999			
	33.	GILES, C.R., "Lightwave Applications of Fiber Bragg Gratings," <i>JOURNAL OF LIGHTWAVE TECHNOLOGY</i> , vol. 15, No. 8, pp. 1391-1404, August 1997			
	34.	SUGDEN, K. et al., "Fabrication and Characterization of Bandpass Filters Based on Concatenated Chirped Fiber Gratings," <i>JOURNAL OF LIGHTWAVE TECHNOLOGY</i> , vol. 15, No. 8, pp. 1424-1432, August 1997			
	35.	WIESMANN, D. et al., "Apodized Surface-Corrugated Gratings with Varying Duty Cycles," <i>IEEE PHOTONICS TECHNOLOGY LETTERS</i> , Vol. 12, No. 6, pp. 639-641, June 2000			
	36.	SHIBATA, Y. et al., "Coupling Coefficient Modulation of Waveguide Grating Using Sampled Grating," <i>IEEE PHOTONICS TECHNOLOGY LETTERS</i> , Vol. 6, No. 10, pp. 1222-1224, October 1994			
	37.	"Encyclopedia.com-Results for laser," <i>THE COLUMBIA ELECTRONIC ENCYCLOPEDIA, SIXTH EDITION</i> . Retrieved August 15, 2001 from http://www.encyclopedia.com/articles/07237.html			
	38.	"Encyclopedia.com-Results for laser: Coherent Light and Its Emission in Lasers," <i>THE COLUMBIA ELECTRONIC ENCYCLOPEDIA, SIXTH EDITION</i> . Retrieved August 15, 2001 from http://www.encyclopedia.com/articles/07237CoherentLightandItsEmissioninLasers.html			
	39.	"Encyclopedia.com-Results for laser: Characteristics of Lasers," <i>THE COLUMBIA ELECTRONIC ENCYCLOPEDIA, SIXTH EDITION</i> . Retrieved August 15, 2001 from http://www.encyclopedia.com/articles/07237CharacteristicsofLasers.html			

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete including gathering, preparing, and

Based on Form PTO/SB/08B (04-03) as modified by BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP on 05/09/03

submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SENT FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450. If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Substitute for Form 1449/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>				Complete if Known	
				Application Number	New Application
				Filing Date	Concurrently herewith
				First Named Inventor:	Liu et al.
				Art Unit	Not Yet Assigned
				Examiner Name	Not Yet Assigned
Sheet	4	of	4	Attorney Docket Number	42P14583D
NON PATENT LITERATURE DOCUMENTS					
Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published			T ²
	40.	"Encyclopedia.com-Results for laser: Applications of Lasers," <i>THE COLUMBIA ELECTRONIC ENCYCLOPEDIA, SIXTH EDITION</i> . Retrieved August 15, 2001 from http://www.encyclopedia.com/articles/07237ApplicationsofLasers.html			
	41.	"Laser," Microsoft® Encarta® Online Encyclopedia 2001. Retrieved August 15, 2001 from http://encarta.msn.com/find/Concise.asp?z=1&pg=2&ti=761578658			
	42.	WESCHLER, MATTEW, "How Lasers Work," <i>Howstuffworks</i> . Retrieved August 15, 2001 from http://www.howstuffworks.com/laser.htm			
	43.	WESCHLER, MATTEW, "How Lasers Work: The Basics of an Atom," <i>Howstuffworks</i> . Retrieved August 15, 2001 from http://www.howstuffworks.com/laser1.htm			
	44.	WESCHLER, MATTEW, "How Lasers Work: The Laser/Atom Connection," <i>Howstuffworks</i> . Retrieved August 15, 2001 from http://www.howstuffworks.com/laser2.htm			
	45.	WESCHLER, MATTEW, "How Lasers Work: Three-Level Laser," <i>Howstuffworks</i> . Retrieved August 15, 2001 from http://www.howstuffworks.com/laser3.htm			
	46.	WESCHLER, MATTEW, "How Lasers Work: Types of Lasers," <i>Howstuffworks</i> . Retrieved August 15, 2001 from http://www.howstuffworks.com/laser4.htm			
	47.	WESCHLER, MATTEW, "How Lasers Work: Laser Classifications," <i>Howstuffworks</i> . Retrieved August 15, 2001 from http://www.howstuffworks.com/laser5.htm			
	48.	WESCHLER, MATTEW, "How Lasers Work: Links," <i>Howstuffworks</i> . Retrieved August 15, 2001 from http://www.howstuffworks.com/laser6.htm			
	49.	MALUF, NADIM, "Lasers: A Tutorial," New Focus®, Opticon 2001, San Jose, CA, pp. 1-48			

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this